

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Sanjay Deshpande et al.

Docket No.: 4797-65

Serial No.: 10/008,269

Examiner: To be assigned

Filed: November 8, 2001

Group Art Unit: 2164

Title: **SYSTEM AND METHOD FOR ENABLING CONTENT PROVIDERS IN A FINANCIAL SERVICES ORGANIZATION TO SELF-PUBLISH CONTENT**

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JUL 31 2002  
**GROUP 3600**

July 18, 2002

Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT**  
**UNDER 37 CFR §1.97(b)**

Sir:

In accordance with the duty of disclosure under 37 CFR §1.56, applicant hereby notifies the U. S. Patent and Trademark Office of the following document, which is listed on the attached PTO/SB/08A form. The examiner may deem this document to be relevant to patentability of the claims of the above-identified application. A copy of the document is enclosed for the examiner's convenience.

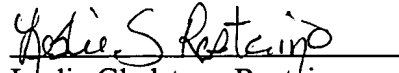
The submission of the listed document is not intended as an admission that the document constitutes prior art against the claims of the present application. Applicants do not waive any right to take any action that would be appropriate to antedate or otherwise remove any listed document as a competent reference against the claims of the present application.

Applicants respectfully request that the listed document be considered by the examiner and be made of record in the present application and that an initialed copy of Form PTO/SB/08A be returned in accordance with MPEP §609.

It is understood that no fee is necessary for submission of this Information Disclosure Statement, as it is being filed before the later of three months from the filing date or the mailing of the first Office Action on the merits.

The Commissioner is hereby authorized to charge payment of any fees associated with this application or credit any overpayment to Deposit Account No. 02-4270.

Respectfully submitted,

A handwritten signature in dark ink, appearing to read "Leslie S. Restaino", is written over a horizontal line.

Leslie Gladstone Restaino

Reg. No. 38,893

Attorney for Applicants

BROWN RAYSMAN MILLSTEIN

FELDER & STEINER LLP

163 Madison Avenue

P.O. Box 1989

Morristown, New Jersey 07962-1989

(973) 775-8930

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

3

**Complete if Known**

Application Number	10/008,269
Filing Date	November 8, 2001
First Named Inventor	Sanjay Deshpande et al.
Group Art Unit	2164
Examiner Name	To be assigned
Attorney Docket Number	4797-65

**U.S. PATENT DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		5,864,871		Kitain et al.	01-26-1999	
		6,154,731		Monks et al.	11-28-2000	
		6,154,729		Cannon et al.	11-28-2000	
		6,144,947		Schwartz	11-07-2000	
		6,119,104		Brumbelow et al.	09-12-2000	
		5,913,202		Motoyama	06-15-1999	
		5,880,726		Takiguchi et al.	03-09-1999	
		5,864,827		Wilson	01-26-1999	
		5,809,483		Broka et al.	09-15-1998	
		5,712,987		Waits et al.	01-27-1998	
		5,689,651		Lozman	11-18-1997	
		5,502,637		Beaulieu et al.	03-26-1996	
		5,339,392		Risberg et al.	08-16-1994	
		5,270,922		Higgins	12-14-1993	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	U.S. Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Office <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Sheet	2	of	3
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)  Sheet 3 of 3		<b>Complete if Known</b>	
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		Group Art Unit	2164
		Examiner Name	To be assigned
		Attorney Docket Number	4797-65

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OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS			
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		"Morningstar to Provide American Skandia With Asset Allocation Tool," Business Wire, August 23, 2000.	
		"ADP Brokerage Services Highlights Significant New Services and Partnerships as SIA Technology Conference and Exhibit," Business Wire, June 20, 2000.	
		"PaineWebber Teams with Vignette and IBM to Offer Clients Truly Personalized Online Financial Advice," Business Wire, November 7, 2000.	
		"HyperFeed Marries Streaming Real-Time Market Data, IP Multicast and The Internet," PR Newswire, April 7, 2000.	
		"Advent Software Presents with Microsoft at The Securities Industry Association Technology Conference," PR Newswire, June 20, 2000.	
		"DBC Successfully Launches Preview of My Esignal," PR Newswire, April 19, 2000.	
		"Primark Launches Globaltropic," PR Newswire. March 13, 2000.	

Examiner Signature		Date Considered	
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<sup>1</sup> EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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